

02/11/02

JCS25 U.S. PTO

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No.	SUN-P7089
First Inventor	Ramachandra Bethmangalkar, et al.
Title	HIGH AVAILABILITY LIGHTWEIGHT DIRECTORY ACCESS PROTOCOL SERVICE
Express Mail Label No.	EL839723219US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 29]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]  
5. Oath or Declaration [Total Pages 4]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: Check for filing fee - \$1,350.00

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ /  
Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	David B. Ritchie				
	THELEN REID & PRIEST LLP				
Address	P.O. Box 640640				
City	San Jose	State	CA	Zip Code	95164-0640
Country	United States of America	Telephone	408.292.5800	Fax	408.287.8040

Name (Print/Type)	Marc S. Hanish	Registration No. (Attorney/Agent)	42,626
Signature		Date	2/11/02

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10/07/163

02/11/02

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

Application Number	(to be assigned)
Filing Date	February 11, 2002
First Named Inventor	Ramachandra Bethmangalkar, et al.
Examiner Name	(to be assigned)
Group / Art Unit	(to be assigned)
Attorney Docket No.	SUN-P7089

TOTAL AMOUNT OF PAYMENT (\$ 1350

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 50-1698

Deposit Account Name THELEN REID & PRIEST LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ 740

### 2. EXTRA CLAIM FEES

Total Claims	47	-20 **	=	27	X	Fee from below 18	=	Fee Paid 486
Independent Claims	4	-3 **	=	1	X	84	=	84
Multiple Dependent	0				X	0	=	0

Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 570

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

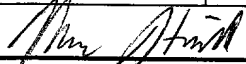
Fee Code	Large Entity (\$)	Fee Code	Small Entity (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 40

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Marc S. Hanish	Registration No. Attorney/Agent)	42,626	Telephone	408.292.5800
Signature		Date	2/11/02		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: Ramachandra Bethmangalkar, et al.  
SERIAL NO.: (to be assigned)  
FILING DATE: February 11, 2002  
TITLE: HIGH AVAILABILITY LIGHTWEIGHT DIRECTORY ACCESS  
PROTOCOL SERVICE  
EXAMINER: (to be assigned)  
ART UNIT: (to be assigned)

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**CERTIFICATE OF MAILING**

I hereby certify that this paper is being deposited with the United States Postal Service as First Class  
Mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on  
the date printed below:

Date: February 11, 2002

Name: Sharon E. Byam  
Sharon E. Byam

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**COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231**

**PETITION TO ACCEPT DECLARATION**  
**Under 37 C.F.R. 1.47**

This petition accompanies the above identified application. An inventor, Louay Gammo, is unavailable for signature on the declaration. Pertinent facts are described in an affidavit by Sharon Byam accompanying this petition. Mr. Gammo's last known address is 405 El Camino Real, Suite 223, Menlo Park, CA, 94025. Applicant respectfully requests that the declaration be accepted without Mr. Gammo's signature. If at some point in the future, Mr. Gammo signs the declaration, we will immediately file it with the USPTO.

If, in the opinion of the Examiner, an interview would expedite the prosecution of this application, the Examiner is invited to call the undersigned attorney at the number indicated below.

Respectfully submitted,  
THELEN REID & PRIEST LLP



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Marc S. Hanish  
Reg. No. 42,626

Dated: February 11, 2002

THELEN REID & PRIEST LLP  
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Fax: (408) 287-8040

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: Ramachandra Bethmangalkar, et al.  
SERIAL NO.: (to be assigned)  
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PROTOCOL SERVICE  
EXAMINER: (to be assigned)  
ART UNIT: (to be assigned)

**CERTIFICATE OF MAILING**

I hereby certify that this paper is being deposited with the United States Postal Service as First Class  
Mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on  
the date printed below:

Date: February 11, 2002

Name: Sharon E. Byam  
Sharon E. Byam

COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

**AFFIDAVIT OF SHARON E. BYAM**  
**Under 37 C.F.R. 1.47**

STATE OF CALIFORNIA )  
 )  
COUNTY OF SANTA CLARA )  
 )

I, Sharon E. Byam, do hereby declare that:

1. I am a legal secretary working at Thelen Reid and Priest at 333 West San Carlos St., 17th Floor, San Jose, CA 95110.
2. On January 23, 2002, I sent a copy of a Declaration/Power of Attorney and an Assignment to Mr. Louay Gammo at his last known address via Federal Express.

3. Federal Express has indicated the package was delivered on January 24, 2002.
4. As of the date of this Affidavit, I have not received any communication, either oral or written, from Mr. Gammo.

I further declare under penalty of perjury pursuant to the laws of the United States of America that the foregoing is true and correct, and that this declaration was executed by me on February 11, 2002 at San Jose, California.

Sharon E. Byam

Sharon E. Byam